



**SELF-CERTIFICATION FORM – CONTROLLING PERSON (FOR HONG KONG)**  
**自我證明表格 – 控權人 (香港適用)**



Policy Number(s) 保單號碼: \_\_\_\_\_

06662019

**Important Notes :**

- This is a self-certification form provided by a controlling person to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- A controlling person should report all changes in his / her tax residency status to the reporting financial institution.
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields / parts marked with an asterisk (\*) are required to be reported by the reporting financial institution to the Inland Revenue Department.

**重要提示：**

- 這是由控權人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 如控權人的稅務居民身份有所改變，應盡快將所有變更通知申報財務機構。
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄 / 部標有星號 (\*) 的項目為申報財務機構須向稅務局申報的資料。

**PART 1 IDENTIFICATION OF CONTROLLING PERSON**

**第 1 部 控權人的身份識別資料**

**(1) Name of Controlling Person 控權人的姓名**

Title (e.g. Mr, Mrs, Ms, Miss)

稱謂 (例如：先生、太太、女士、小姐)

Last Name or Surname\* 姓氏\*

First or Given Name\* 名字\*

Middle Name(s) 中間名

**(2) Hong Kong Identity Card or Passport Number**

香港身份證或護照號碼

**(3) Current Residence Address 現時住址**

Line 1 (e.g. Suite, Floor, Building, Street, District)

第1行 (例如：室、樓層、大廈、街道、地區)

Line 2 (City)\*

第2行 (城市)\*

Line 3 (e.g. Province, State)

第3行 (例如：省、州)

Country\* 國家\*

Post Code / ZIP Code 郵政編碼 / 郵遞區號碼

**(4) Mailing Address (Complete if different to the current residence address)**

通訊地址 (如通訊地址與現時住址不同，填寫此欄)

Line 1 (e.g. Suite, Floor, Building, Street, District)

第1行 (例如：室、樓層、大廈、街道、地區)

Line 2 (City)

第2行 (城市)

Line 3 (e.g. Province, State)

第3行 (例如：省、州)

Country 國家

Post Code / ZIP Code 郵政編碼 / 郵遞區號碼

**(5) Date of Birth\* 出生日期\***

(MM月/DD日/YYYY年)

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**PART 2 THE ENTITY ACCOUNT HOLDER(S) OF WHICH YOU ARE A CONTROLLING PERSON**  
**第 2 部 你作為控權人的實體帳戶持有人**

Enter the name of the entity account holder of which you are a controlling person.  
 填寫你作為控權人的實體帳戶持有人的名稱。

<b>Name of the Entity Account Holder</b> 實體帳戶持有人的名稱	
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**PART 3 JURISDICTION OF RESIDENCE AND TAXPAYER IDENTIFICATION NUMBER OR ITS FUNCTIONAL EQUIVALENT ("TIN") \***  
**第 3 部 居留司法管轄區及稅務編號或具有等同功能的識別編號(以下簡稱「稅務編號」)\***

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the controlling person is a **resident for tax purposes** and (b) the controlling person's TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) the jurisdictions of residence. If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

提供以下資料，列明(a)控權人的居留司法管轄區，亦即控權人的稅務管轄區(香港包括在內)及(b)該居留司法管轄區發給控權人的稅務編號。列出**所有**(不限於5個)居留司法管轄區。如控權人是香港稅務居民，稅務編號是其香港身份證號碼。

If a TIN is unavailable, provide the appropriate reason A, B or C:  
 如沒有提供稅務編號，必須填寫合適的理由：

- Reason A** – The jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents.  
**理由 A** 控權人的居留司法稅務管轄區並沒有向其居民發出稅務編號。
- Reason B** – The controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason.  
**理由 B** 控權人不能取得稅務編號。如選取這一理由，解釋控權人不能取得稅務編號的原因。
- Reason C** – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.  
**理由 C** 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號， 填寫理由A、B或C	Explain why the controlling person is unable to obtain a TIN if you have selected Reason B 如選擇理由B，解釋控權人 不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

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**PART 4 TYPE OF CONTROLLING PERSON****第 4 部 控權人類別**

Tick the appropriate box to indicate the type of controlling person for the entity stated in Part 2.  
就第2部所載的實體，在適當方格內加上✓號，指出控權人就實體所屬的控權人類別。

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity 實體
Legal Person 法人	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人 (即擁有不少於百分之二十五的已發行股本)	<input type="checkbox"/>
	Individual who exercises control / is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人 (即擁有不少於百分之二十五的表決權)	<input type="checkbox"/>
	Individual who holds the position of senior managing official / exercises ultimate control over the management of the entity 擔任該實體的高級管理人員 / 對該實體的管理行使最終控制權的個人	<input type="checkbox"/>
Trust 信託	Settlor 財產授予人	<input type="checkbox"/>
	Trustee 受託人	<input type="checkbox"/>
	Protector 保護人	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor / trustee / protector / beneficiary) 其他 (例如：如財產授予人 / 受託人 / 保護人 / 受益人為另一實體，對該實體行使控制權的個人)	<input type="checkbox"/>
Legal Arrangement other than Trust 除信託以外的法律安排	Individual in a position equivalent / similar to settlor 處於相等 / 相類於財產授予人位置的個人	<input type="checkbox"/>
	Individual in a position equivalent / similar to trustee 處於相等 / 相類於受託人位置的個人	<input type="checkbox"/>
	Individual in a position equivalent / similar to protector 處於相等 / 相類於保護人位置的個人	<input type="checkbox"/>
	Individual in a position equivalent / similar to beneficiary or member of the class of beneficiaries 處於相等 / 相類於受益人或某類別受益人的成員位置的個人	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent / similar to settlor / trustee / protector / beneficiary) 其他 (例如：如處於相等 / 相類於財產授予人 / 受託人 / 保護人 / 受益人位置的人為另一實體，對該實體行使控制權的個人)	<input type="checkbox"/>

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**PART 5 DECLARATIONS AND SIGNATURE****第 5 部 聲明及簽署**

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the controlling person and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the controlling person may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

I certify that I am the controlling person / I am authorized to sign for the controlling person# of all the account(s) held by the entity account holder(s) to which this form relates.

I undertake to advise AIA International Limited of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide AIA International Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人知悉及同意，財務機構可根據《稅務條例》(第112章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於控權人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到控權人的居留司法管轄區的稅務當局。

本人證明，就與本表格所有相關的實體帳戶持有人所持有的帳戶，本人是控權人 / 本人獲控權人授權簽署本表格#。

本人承諾，如情況有所改變，以致影響本表格第1部所述的個人的稅務居民身份，或引致本表格所載的資料不正確，本人會通知友邦保險(國際)有限公司，並會在情況發生改變後30日內，向友邦保險(國際)有限公司提交一份已適當更新的自我證明表格。

# Delete as appropriate 刪去不適用者

**PERSONAL DATA COLLECTION AND USE**

I confirm that I have read and understood the AIA Personal Information Collection Statement ("AIA PIC"). I declare and agree that any personal data and other information relating to me or my policy(ies) or investments contained in this application or collected, obtained, compiled or held by the Company by any means from time to time may be collected and utilized in accordance with the AIA PIC. I acknowledge and consent to the transfer of my personal data outside of Hong Kong for the purposes and to the types of transferee as set out in the AIA PIC. The updated version of AIA PIC is available for download from its website: [www.aia.com.hk](http://www.aia.com.hk), and is made available upon request.

**I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.**

**個人資料收集及使用**

本人確認本人已閱讀及明白AIA個人資料收集聲明(「AIA個人資料收集聲明」)。本人聲明及同意在本申請所載或貴公司不時以任何方法收集所得、編製或持有的任何個人資料及關於本人的保單或投資的其他資料，可根據AIA個人資料收集聲明收集及使用。本人知悉及同意就AIA個人資料收集聲明所述目的轉讓本人的個人資料至香港境外予AIA個人資料收集聲明所載的資料承讓人。

AIA個人資料收集聲明的最新版本可於以下網址下載：[www.aia.com.hk](http://www.aia.com.hk)，及可向貴公司索取。

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Date 日期: (MM月 / DD日 / YYYY年)

Capacity 身份

(Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney.)

(如你不是第1部所述的個人，說明你的身份。如果你是以受權人身份簽署這份表格，須夾附該授權書的核證副本。)

Name 姓名

(Please do not sign on blank form 請勿在空白表格上簽署)

Signature 簽署

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).**

**警告：根據《稅務條例》第80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第3級(即\$10,000)罰款。**

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## Meaning of terms and expressions used in Self-Certification Forms

### “Account Holder”

The “Account Holder” is the person listed or identified as the holder of a financial account by the Financial Institution that maintains the account. This is regardless of whether such person is a flow-through Entity. Thus, for example, if a trust or an estate is listed as the holder or owner of a financial account, the trust or estate is the Account Holder, rather than the trustee or the trust’s owners or beneficiaries. Similarly, if a partnership is listed as the holder or owner of a financial account, the partnership is the Account Holder, rather than the partners in the partnership.

A person, other than a Financial Institution, holding a financial account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, intermediary, or legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example in the case of a parent / child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder.

With respect to a jointly held account, each joint holder is treated as an Account Holder.

Account Holder in this Self-Certification Form refers to Applicant / Policy Applicant / Owner / Claimant referred to in the application.

### “Control”

“Control” over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest (typically on the basis of a certain percentage (e.g. 25%)) in the Entity. Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is / are identified as exercising control of the Entity through ownership interests, the Controlling Person of the Entity is deemed to be the natural person who holds the position of senior managing official or exercises ultimate control over the management of the Entity.

### “Controlling Person(s)”

“Controlling Persons” are the natural person(s) who exercise control over an Entity. In the case of a trust, the Controlling Person(s) are the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, or any other natural person(s) exercising ultimate effective control over the trust (including through a chain of control or ownership). The settlor(s), the trustee(s), the protector(s) (if any), and the beneficiary(ies) or class(es) of beneficiaries, must always be treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the activities of the trust.

Where the settlor, trustee, protector or beneficiary of a trust are themselves Entities then the Controlling Persons of the settlor, trustee, protector or beneficiary must be treated as Controlling Persons of the trust.

In the case of a legal arrangement other than a trust, “Controlling Person(s)” means persons in equivalent or similar positions to those of a trust.

### “Entity”

The term “Entity” means a legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation. This term covers any person other than an individual (i.e. a natural person).

### “Financial Institution”

The term “Financial Institution” means a custodial institution, a depository institution, an investment entity, or a “Specified Insurance Company”.

### “Resident for tax purposes”

Generally, an Entity will be resident for tax purposes in a jurisdiction (or country) if, under the laws of that jurisdiction (including tax conventions), it pays or should be paying tax therein by reason of his domicile, residence, place of management or incorporation, or any other criterion of a similar nature, and not only from sources in that jurisdiction. An Entity such as a partnership, limited liability partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated. A trust is treated as resident where one or more of its trustees is resident. For additional information on tax residence, please talk to your tax adviser or refer to the OECD Automatic Exchange Portal at the following link:

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>.

### “Specified Insurance Company”

The term “Specified Insurance Company” means any Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

### “TIN” (including “functional equivalent”)

The term “TIN” means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction (or country) to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD Automatic Exchange Portal at the following link:

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a “functional equivalent”). Examples of that type of number include

- (a) (for individuals) a social security / insurance number, citizen / personal identification / service code / number, and resident registration number.
- (b) (for Entities) a Business / company registration code / number.

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## 自我證明表格內採用的名詞及措辭釋義

### 「帳戶持有人」

「帳戶持有人」指被維持該財務帳戶的財務機構列明為或識辨為帳戶的持有人的人士，不論該人士是否為過渡實體。所以，如果一個信託或遺產被列明為某財務帳戶的持有人或擁有人，則帳戶持有人是該信託或遺產，而非受託人、信託的擁有人或受益人。同樣地，如果一個合夥被列明為某財務帳戶的持有人或擁有人，則帳戶持有人是該合夥，而非合夥的合夥人。

除財務機構外，若有關人士以代理人、託管人、代名人、簽署人、投資顧問、中介人或合法監護人身份代其他人士持有財務帳戶，他不會被視為帳戶持有人。在這種情況下，帳戶持有人應為該其他人士。以一個家長與子女開立的帳戶為例，如帳戶以家長為子女的合法監護人名義開立，子女會被視為帳戶持有人。

聯名帳戶內的每個持有人都被視為帳戶持有人。

於本自我證明表格，帳戶持有人指申請中的申請人 / 保單申請人 / 持有人 / 索償人。

### 「控權」

自然人對某實體的「控權」，通常透過其在實體的控制擁有權權益(典型地會按某個百分比(例如25%)為基準)行使。如沒有自然人透過擁有權權益行使控制，該實體的控權人將會是透過其他方式對該實體行使控制的自然人；如沒有自然人識辨為透過擁有權權益對某實體行使控制，該實體的控權人將會設定為處於高級行政人員位置或對該實體的管理行使最終控制權的自然人。

### 「控權人」

「控權人」指對該實體行使控制權的自然人。就信託而言，「控權人」指屬該信託的財產授予人、受託人、保護人(如有的話)、受益人或某類別受益人的成員的個人；或任何自然人對該信託的管理行使最終控制權(包括透過一連串的控制或擁有權)。財產授予人、受託人、保護人(如有的話)、受益人或某類別受益人的成員的個人會被視為信託的「控權人」，不論該等人士是否對該信託的活動行使控制權。

如財產授予人、受託人、保護人或受益人為實體，財產授予人、受託人、保護人或受益人的「控權人」會被視為信託的「控權人」。

就並非信託的法律安排，「控權人」指相等於或處於一個相類於信託的人士。

### 「實體」

「實體」一詞指法人或法律安排，例如：法團、組織、合夥、信託或基金會。該詞涵蓋並非個人(即自然人)的人士。

### 「財務機構」

「財務機構」一詞指託管機構、存款機構、投資實體或「指明保險公司」。

### 「稅務居民」

一般而言，如根據某個稅務管轄區(亦即司法管轄區或國家)的規定(包括稅收協定)，任何實體不僅就以有關稅務管轄區為來源的收入，亦因其居籍、居所、管理工作地點、成立為法團地點，或任何性質類似的其他準則，在有關稅務管轄區需要繳稅或有繳稅責任，便會成為該稅務管轄區的稅務居民。沒有稅務居民身份的實體，例如：合夥、有限法律責任合夥或類似的法律安排，應被視為其實際管理地點所在稅務管轄區的稅務居民。一個信託應被視為一個或多於一個受託人居住的稅務管轄區的居民。有關稅務居民身份的更多資訊，請聯絡閣下的稅務顧問或瀏覽經濟合作與發展組織的自動交換資料網站：

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>

### 「指明保險公司」

「指明保險公司」一詞指任何屬保險公司的實體，或屬某保險公司的控權公司的實體，而該實體發出現金值保險合約或年金合約，或有責任就現金值保險合約或年金合約付款。

### 「稅務編號」(包括具有等同功能的識辨編號)

「稅務編號」一詞指納稅人的識辨編號或具有等同功能的識辨編號(如無納稅人的識辨編號)。稅務編號是稅務管轄區(亦即司法管轄區或國家)向個人或實體分配獨有的字母與數字組合，用於識別個人或實體的身份，以便實施該稅務管轄區的稅務法律。有關可接受的稅務編號的更多詳細資訊刊載於經濟合作與發展組織的自動交換資料網站：

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>

某些稅務管轄區不發出稅務編號。但是，這些稅務管轄區通常使用具有等同識辨功能的其他完整號碼(「具有等同功能的識辨號碼」)。此類號碼的例子包括：

- (a) 就個人而言，社會安全號碼/保險號碼、公民 / 個人身份 / 服務代碼 / 號碼，以及居民登記號碼。
- (b) 就實體而言，商業/公司登記代碼/號碼。